


Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 074273-0193		SERIAL NO. Unassigned		16872 U.S. PRO 09/916487 			
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT Katsuhiko NAKADE		FILING DATE July 30, 2001				GROUP ART UNIT Unassigned	
U.S. PATENT DOCUMENTS											
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE				
FOREIGN PATENT DOCUMENTS											
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION				
							YES	NO			
	A1	11-507150	6/22/99	Japan			X				
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)											
EXAMINER					DATE CONSIDERED						
* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.											

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Katsuhiko NAKADE
Title: NETWORK-BASED SECURITIES TRANSACTION SYSTEM
Appl. No.: Unassigned
Filing Date: July 30, 2001
Examiner: Unassigned
Art Unit: Unassigned



#2
S. C. Carter
11-27-01

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of a document known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed document is being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

RELEVANCE OF EACH DOCUMENT

The relevance of the foreign-language document is described in the present specification. An English translation of the foreign-language document is not readily available. However, the absence of such translation does not relieve the PTO from its duty to consider the submitted foreign language document (37 CFR §1.98 and MPEP §609). An English Language equivalent is attached.

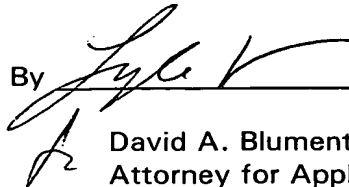
Applicant respectfully requests that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date July 30, 2001

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